



**Community Development Block Grant
Human Services Grantees
Checklist for Annual On-Site Monitoring
FY 2009-10**

Subrecipient: Abilities United
Project Name/Agreement No.: 0910-828480
Project Director: Linda Chin
Document review and general oversight conducted on: 1/3/11
On-site monitoring visit(s) conducted on: 1/4/11
Staff present: Linda Chin
Monitoring letter/email sent on: email 11/18/11
Follow-up monitoring visit conducted/letter sent on: none needed
Monitoring conducted by: Edith Alanis

Conformance with Agreement

	Yes	No
1. Did the subrecipient provide the services described in its contract?	✓	
2. Were clients/participants satisfied with the services?	✓	
3. Did the subrecipient meet all of its goals (units of service and performance measures) based upon the contract scope of services and quarterly reports?	✓	
4. Were quarterly reports submitted in a timely manner?	✓	
5. Are reimbursement requests submitted in a timely manner? Did they accurately reflect the level of work accomplished?	✓	
6. Were the staffing levels consistent with the contract?	✓	
7. Did the subrecipient evaluate and monitor the program for its own internal purposes?	✓	
8. Did the agency measure and evaluate its performance outcomes (Units of Service and Performance Measures)?	✓	
9. Were the files consistent with activities described in the contract?	✓	
10. Did the subrecipient demonstrate efforts to seek and apply for other sources of revenue?	✓	
11. Did the subrecipient seek to collaborate with other community agencies?	✓	
12. Does the subrecipient require technical assistance in order to comply with CDBG requirements or to effectively operate the funded program?		✓
13. Does the subrecipient require a corrective action plan?		✓
14. Did the subrecipient comply with all corrective action findings, if any?		—

Administrative Management

	Yes	No
15. Does the subrecipient maintain comprehensive, orderly, and secured (where necessary) records? For what period of time? <i>indefinitely</i>	✓	
16. Are insurance certificates and surety bonds current?	✓	
17. Is the City of Sunnyvale named as an additional insured?	✓	
18. Does the agency have a drug free workplace policy?	✓	
19. Has the agency adopted a policy of non-discrimination in personnel policies and hiring practices?	✓	
20. Does the agency maintain and enforce a policy of non-discrimination in the provision of services under this contract?	✓	
21. Do the procedures the subrecipient uses for procurement of goods and services meet CDBG requirements? Review a sample number of procurements.	✓	
22. How does the subrecipient assure that there was no conflict of interest, real or apparent? Review the process and comment. <i>policy in place</i>	✓	

Financial Management

	Yes	No
23. Does the contractor keep a separate budget for this contract? <i>funding source clearly defined</i>		✓
24. Is the budget reviewed on an interim basis? Compare the current budget to the budget submitted in the RFP process.	✓	
25. Is there an indirect cost allocation plan? If so, has this plan been approved by HUD?		✓
26. Are internal control systems in compliance with accounting policies and procedures for cash, real and personal property equipment, and other assets?	✓	
27. Is the documentation submitted for reimbursement of funds sufficient to ensure payments are eligible and reasonable?	✓	
28. If the subrecipient generates program income, does its use of the funds comply with CDBG regulations? <i>some fees</i>	✓	
29. Has the organization submitted for review a copy of their annual independent audit covering the most recent fiscal year?	✓	
30. Determine if the subrecipient has expended \$500,000 or more in Federal funds for the subject year. (OMB Circular A-133).		✓
• IPA required?		✓
31. Describe any findings or concerns that were cited in the audit or in any accompanying management letter, particularly pertaining to the use of CDBG funds. Also describe any actions taken to correct identified findings or concerns. <i>no significant findings</i>	—	



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Checklist for Annual On-Site Monitoring
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Subrecipient: Bill Wilson Center

Project Name/Agreement No.: 0910-825920

Project Director: Lorraine Flores

Document review and general oversight conducted on: 12/9/10

On-site monitoring visit(s) conducted on: 12/13/10

Staff present: Lorraine Flores

Erica Werpetski

Monitoring letter/email sent on: email 11/18/10

Follow-up monitoring visit conducted/letter sent on: none needed

Monitoring conducted by: Edith Alanis

Conformance with Agreement

	Yes	No
1. Did the subrecipient provide the services described in its contract?	✓	
2. Were clients/participants satisfied with the services?	✓	
3. Did the subrecipient meet all of its goals (units of service and performance measures) based upon the contract scope of services and quarterly reports?	✓	
4. Were quarterly reports submitted in a timely manner?	✓	
5. Are reimbursement requests submitted in a timely manner? Did they accurately reflect the level of work accomplished?	✓	
6. Were the staffing levels consistent with the contract?	✓	
7. Did the subrecipient evaluate and monitor the program for its own internal purposes?	✓	
8. Did the agency measure and evaluate its performance outcomes (Units of Service and Performance Measures)?	✓	
9. Were the files consistent with activities described in the contract?	✓	
10. Did the subrecipient demonstrate efforts to seek and apply for other sources of revenue?	✓	
11. Did the subrecipient seek to collaborate with other community agencies?	✓	
12. Does the subrecipient require technical assistance in order to comply with CDBG requirements or to effectively operate the funded program?		✓
13. Does the subrecipient require a corrective action plan?		✓
14. Did the subrecipient comply with all corrective action findings, if any?	—	—

Administrative Management

	Yes	No
15. Does the subrecipient maintain comprehensive, orderly, and secured (where necessary) records? For what period of time? <i>7 years</i>	✓	
16. Are insurance certificates and surety bonds current?	✓	
17. Is the City of Sunnyvale named as an additional insured?	✓	
18. Does the agency have a drug free workplace policy?	✓	
19. Has the agency adopted a policy of non-discrimination in personnel policies and hiring practices?	✓	
20. Does the agency maintain and enforce a policy of non-discrimination in the provision of services under this contract?	✓	
21. Do the procedures the subrecipient uses for procurement of goods and services meet CDBG requirements? Review a sample number of procurements.	✓	
22. How does the subrecipient assure that there was no conflict of interest, real or apparent? Review the process and comment. <i>Rcvd copy of policy</i>	✓	

Financial Management

	Yes	No
23. Does the contractor keep a separate budget for this contract?	✓	
24. Is the budget reviewed on an interim basis? Compare the current budget to the budget submitted in the RFP process.	✓	
25. Is there an indirect cost allocation plan? If so, has this plan been approved by HUD?	✓	✓
26. Are internal control systems in compliance with accounting policies and procedures for cash, real and personal property equipment, and other assets?	✓	
27. Is the documentation submitted for reimbursement of funds sufficient to ensure payments are eligible and reasonable?	✓	
28. If the subrecipient generates program income, does its use of the funds comply with CDBG regulations? <i>some fees</i>	✓	
29. Has the organization submitted for review a copy of their annual independent audit covering the most recent fiscal year?	✓	
30. Determine if the subrecipient has expended \$500,000 or more in Federal funds for the subject year. (OMB Circular A-133).	✓	
• IPA required?	✓	
31. Describe any findings or concerns that were cited in the audit or in any accompanying management letter, particularly pertaining to the use of CDBG funds. Also describe any actions taken to correct identified findings or concerns. <i>NO FINDINGS.</i>		✓



Community Development Block Grant
Human Services Grantees
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Subrecipient: Catholic Charities - Day Break III
Project Name/Agreement No.: 0910-828440
Project Director: Amy Andonian
Document review and general oversight conducted on: 12/9/10
On-site monitoring visit(s) conducted on: 12/18/10
Staff present: Amy Andonian
Ginger McClure
Monitoring letter/email sent on: email 11/18/10
Follow-up monitoring visit conducted/letter sent on: none needed
Monitoring conducted by: Edith Alanis

Conformance with Agreement

	Yes	No
1. Did the subrecipient provide the services described in its contract?	✓	
2. Were clients/participants satisfied with the services?	✓	
3. Did the subrecipient meet all of its goals (units of service and performance measures) based upon the contract scope of services and quarterly reports?	✓	
4. Were quarterly reports submitted in a timely manner?	✓	
5. Are reimbursement requests submitted in a timely manner? Did they accurately reflect the level of work accomplished?	✓	
6. Were the staffing levels consistent with the contract?	✓	
7. Did the subrecipient evaluate and monitor the program for its own internal purposes?	✓	
8. Did the agency measure and evaluate its performance outcomes (Units of Service and Performance Measures)?	✓	
9. Were the files consistent with activities described in the contract?	✓	
10. Did the subrecipient demonstrate efforts to seek and apply for other sources of revenue?	✓	
11. Did the subrecipient seek to collaborate with other community agencies?	✓	
12. Does the subrecipient require technical assistance in order to comply with CDBG requirements or to effectively operate the funded program?		✓
13. Does the subrecipient require a corrective action plan?		✓
14. Did the subrecipient comply with all corrective action findings, if any?	✓	

Administrative Management

	Yes	No
15. Does the subrecipient maintain comprehensive, orderly, and secured (where necessary) records? For what period of time? <i>7 years</i>	✓	
16. Are insurance certificates and surety bonds current?	✓	
17. Is the City of Sunnyvale named as an additional insured?	✓	
18. Does the agency have a drug free workplace policy?	✓	
19. Has the agency adopted a policy of non-discrimination in personnel policies and hiring practices?	✓	
20. Does the agency maintain and enforce a policy of non-discrimination in the provision of services under this contract?	✓	
21. Do the procedures the subrecipient uses for procurement of goods and services meet CDBG requirements? Review a sample number of procurements.	✓	
22. How does the subrecipient assure that there was no conflict of interest, real or apparent? Review the process and comment. <i>Policy</i>	—	—

Financial Management

	Yes	No
23. Does the contractor keep a separate budget for this contract? <i>Funding sources clearly segregated</i>		✓
24. Is the budget reviewed on an interim basis? Compare the current budget to the budget submitted in the RFP process.	✓	
25. Is there an indirect cost allocation plan? If so, has this plan been approved by HUD?	✓	
26. Are internal control systems in compliance with accounting policies and procedures for cash, real and personal property equipment, and other assets?	✓	
27. Is the documentation submitted for reimbursement of funds sufficient to ensure payments are eligible and reasonable?	✓	
28. If the subrecipient generates program income, does its use of the funds comply with CDBG regulations? <i>sliding scale fees</i>	✓	
29. Has the organization submitted for review a copy of their annual independent audit covering the most recent fiscal year?	✓	
30. Determine if the subrecipient has expended \$500,000 or more in Federal funds for the subject year. (OMB Circular A-133).	✓	
• IPA required?	✓	
31. Describe any findings or concerns that were cited in the audit or in any accompanying management letter, particularly pertaining to the use of CDBG funds. Also describe any actions taken to correct identified findings or concerns. <i>Agency-wide findings, but not for this program</i>	—	—



Community Development Block Grant
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FY 2009-10

Subrecipient: Catholic Charities - Housing Search
Project Name/Agreement No.: 0910-827710
Project Director: Minh Hoang Pham
Document review and general oversight conducted on: 12/21/10
On-site monitoring visit(s) conducted on: 12/22/10
Staff present: Minh Hoang Pham
Monitoring letter/email sent on: email 11/18/10
Follow-up monitoring visit conducted/letter sent on: none needed
Monitoring conducted by: Edith Alanis

Conformance with Agreement

	Yes	No
1. Did the subrecipient provide the services described in its contract?	✓	
2. Were clients/participants satisfied with the services?	✓	
3. Did the subrecipient meet all of its goals (units of service and performance measures) based upon the contract scope of services and quarterly reports?	✓	
4. Were quarterly reports submitted in a timely manner?	✓	
5. Are reimbursement requests submitted in a timely manner? Did they accurately reflect the level of work accomplished?	✓	
6. Were the staffing levels consistent with the contract?	✓	
7. Did the subrecipient evaluate and monitor the program for its own internal purposes?	✓	
8. Did the agency measure and evaluate its performance outcomes (Units of Service and Performance Measures)?	✓	
9. Were the files consistent with activities described in the contract?	✓	
10. Did the subrecipient demonstrate efforts to seek and apply for other sources of revenue?	✓	
11. Did the subrecipient seek to collaborate with other community agencies?	✓	
12. Does the subrecipient require technical assistance in order to comply with CDBG requirements or to effectively operate the funded program?		✓
13. Does the subrecipient require a corrective action plan?		✓
14. Did the subrecipient comply with all corrective action findings, if any?	—	—

Administrative Management

	Yes	No
15. Does the subrecipient maintain comprehensive, orderly, and secured (where necessary) records? For what period of time? <i>7 years</i>	✓	
16. Are insurance certificates and surety bonds current?	✓	
17. Is the City of Sunnyvale named as an additional insured?	✓	
18. Does the agency have a drug free workplace policy?	✓	
19. Has the agency adopted a policy of non-discrimination in personnel policies and hiring practices?	✓	
20. Does the agency maintain and enforce a policy of non-discrimination in the provision of services under this contract?	✓	
21. Do the procedures the subrecipient uses for procurement of goods and services meet CDBG requirements? Review a sample number of procurements.	✓	
22. How does the subrecipient assure that there was no conflict of interest, real or apparent? Review the process and comment. <i>Policy</i>	—	

Financial Management

	Yes	No
23. Does the contractor keep a separate budget for this contract? <i>Funding sources clearly identified</i>		✓
24. Is the budget reviewed on an interim basis? Compare the current budget to the budget submitted in the RFP process.	✓	
25. Is there an indirect cost allocation plan? If so, has this plan been approved by HUD?	✓	
26. Are internal control systems in compliance with accounting policies and procedures for cash, real and personal property equipment, and other assets?	✓	
27. Is the documentation submitted for reimbursement of funds sufficient to ensure payments are eligible and reasonable?	✓	
28. If the subrecipient generates program income, does its use of the funds comply with CDBG regulations? <i>No income</i>	—	—
29. Has the organization submitted for review a copy of their annual independent audit covering the most recent fiscal year?	✓	
30. Determine if the subrecipient has expended \$500,000 or more in Federal funds for the subject year. (OMB Circular A-133).	✓	
• IPA required?	✓	
31. Describe any findings or concerns that were cited in the audit or in any accompanying management letter, particularly pertaining to the use of CDBG funds. Also describe any actions taken to correct identified findings or concerns. <i>Agency-wide findings, but not for this program</i>	—	—



**Community Development Block Grant
Human Services Grantees
Checklist for Annual On-Site Monitoring
FY 2009-10**

Subrecipient: Catholic Charities - LTO
Project Name/Agreement No.: 0910-804751/827720
Project Director: Wanda Hale
Document review and general oversight conducted on: 1/18/11
On-site monitoring visit(s) conducted on: 1/19/11
Staff present: Wanda Hale
Marlene Siebert
Monitoring letter/email sent on: email 11/18/10
Follow-up monitoring visit conducted/letter sent on: none needed
Monitoring conducted by: Edith Alanis

Conformance with Agreement

	Yes	No
1. Did the subrecipient provide the services described in its contract?	✓	
2. Were clients/participants satisfied with the services?	✓	
3. Did the subrecipient meet all of its goals (units of service and performance measures) based upon the contract scope of services and quarterly reports?	✓	
4. Were quarterly reports submitted in a timely manner?	✓	
5. Are reimbursement requests submitted in a timely manner? Did they accurately reflect the level of work accomplished?	✓	
6. Were the staffing levels consistent with the contract?	✓	
7. Did the subrecipient evaluate and monitor the program for its own internal purposes?	✓	
8. Did the agency measure and evaluate its performance outcomes (Units of Service and Performance Measures)?	✓	
9. Were the files consistent with activities described in the contract?	✓	
10. Did the subrecipient demonstrate efforts to seek and apply for other sources of revenue?	✓	
11. Did the subrecipient seek to collaborate with other community agencies?	✓	
12. Does the subrecipient require technical assistance in order to comply with CDBG requirements or to effectively operate the funded program?		✓
13. Does the subrecipient require a corrective action plan?		✓
14. Did the subrecipient comply with all corrective action findings, if any?	+	

Administrative Management

	Yes	No
15. Does the subrecipient maintain comprehensive, orderly, and secured (where necessary) records? For what period of time? <i>7 years</i>	✓	
16. Are insurance certificates and surety bonds current?	✓	
17. Is the City of Sunnyvale named as an additional insured?	✓	
18. Does the agency have a drug free workplace policy?	✓	
19. Has the agency adopted a policy of non-discrimination in personnel policies and hiring practices?	✓	
20. Does the agency maintain and enforce a policy of non-discrimination in the provision of services under this contract?	✓	
21. Do the procedures the subrecipient uses for procurement of goods and services meet CDBG requirements? Review a sample number of procurements.	✓	
22. How does the subrecipient assure that there was no conflict of interest, real or apparent? Review the process and comment. <i>Policy</i>	—	

Financial Management

	Yes	No
23. Does the contractor keep a separate budget for this contract? <i>But funding source clearly identified</i>		✓
24. Is the budget reviewed on an interim basis? Compare the current budget to the budget submitted in the RFP process.	✓	
25. Is there an indirect cost allocation plan? If so, has this plan been approved by HUD?	✓	
26. Are internal control systems in compliance with accounting policies and procedures for cash, real and personal property equipment, and other assets?	✓	
27. Is the documentation submitted for reimbursement of funds sufficient to ensure payments are eligible and reasonable?	✓	
28. If the subrecipient generates program income, does its use of the funds comply with CDBG regulations? <i>No fees</i>	—	
29. Has the organization submitted for review a copy of their annual independent audit covering the most recent fiscal year?	✓	
30. Determine if the subrecipient has expended \$500,000 or more in Federal funds for the subject year. (OMB Circular A-133).	✓	
• IPA required?	✓	
31. Describe any findings or concerns that were cited in the audit or in any accompanying management letter, particularly pertaining to the use of CDBG funds. Also describe any actions taken to correct identified findings or concerns. <i>Agency wide finding, but not for this program</i>	—	



**Community Development Block Grant
Human Services Grantees
Checklist for Annual On-Site Monitoring
FY 2009-10**

Subrecipient: ETC LifeBuilders

Project Name/Agreement No.: 0910-827210

Project Director: Linda Jones

Document review and general oversight conducted on: 1/24/11

On-site monitoring visit(s) conducted on: 1/25/11

Staff present: Linda Jones, Gloria Chen
Mark Foote

Monitoring letter/email sent on: email 11/18/10

Follow-up monitoring visit conducted/letter sent on: none needed

Monitoring conducted by: Edith Alanis

Conformance with Agreement

	Yes	No
1. Did the subrecipient provide the services described in its contract? <u>Lower capacity</u>		✓
2. Were clients/participants satisfied with the services?	✓	
3. Did the subrecipient meet all of its goals (units of service and performance measures) based upon the contract scope of services and quarterly reports?		✓
4. Were quarterly reports submitted in a timely manner?	✓	
5. Are reimbursement requests submitted in a timely manner? Did they accurately reflect the level of work accomplished?	✓	
6. Were the staffing levels consistent with the contract?	✓	
7. Did the subrecipient evaluate and monitor the program for its own internal purposes?	✓	
8. Did the agency measure and evaluate its performance outcomes (Units of Service and Performance Measures)? <u>Advised of bed reduction</u>	✓	
9. Were the files consistent with activities described in the contract?	✓	
10. Did the subrecipient demonstrate efforts to seek and apply for other sources of revenue?	✓	
11. Did the subrecipient seek to collaborate with other community agencies?	✓	
12. Does the subrecipient require technical assistance in order to comply with CDBG requirements or to effectively operate the funded program?		✓
13. Does the subrecipient require a corrective action plan?		✓
14. Did the subrecipient comply with all corrective action findings, if any?		—

Administrative Management

	Yes	No
15. Does the subrecipient maintain comprehensive, orderly, and secured (where necessary) records? For what period of time?	✓	
16. Are insurance certificates and surety bonds current?	✓	
17. Is the City of Sunnyvale named as an additional insured?	✓	
18. Does the agency have a drug free workplace policy?	✓	
19. Has the agency adopted a policy of non-discrimination in personnel policies and hiring practices?	✓	
20. Does the agency maintain and enforce a policy of non-discrimination in the provision of services under this contract?	✓	
21. Do the procedures the subrecipient uses for procurement of goods and services meet CDBG requirements? Review a sample number of procurements.	✓	
22. How does the subrecipient assure that there was no conflict of interest, real or apparent? Review the process and comment. <i>Copy of policy recd.</i>	—	

Financial Management

	Yes	No
23. Does the contractor keep a separate budget for this contract?	✓	
24. Is the budget reviewed on an interim basis? Compare the current budget to the budget submitted in the RFP process.	✓	
25. Is there an indirect cost allocation plan? If so, has this plan been approved by HUD? <i>Pending approval</i>	✓	
26. Are internal control systems in compliance with accounting policies and procedures for cash, real and personal property equipment, and other assets?	✓	
27. Is the documentation submitted for reimbursement of funds sufficient to ensure payments are eligible and reasonable?	✓	
28. If the subrecipient generates program income, does its use of the funds comply with CDBG regulations? <i>no fees</i>	—	
29. Has the organization submitted for review a copy of their annual independent audit covering the most recent fiscal year?	✓	
30. Determine if the subrecipient has expended \$500,000 or more in Federal funds for the subject year. (OMB Circular A-133).	✓	
• IPA required?	✓	
31. Describe any findings or concerns that were cited in the audit or in any accompanying management letter, particularly pertaining to the use of CDBG funds. Also describe any actions taken to correct identified findings or concerns. <i>None</i>	—	



Community Development Block Grant
Human Services Grantees
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Subrecipient: Family & Children Services
Project Name/Agreement No.: 0910-827220
Project Director: Maritza Henry
Document review and general oversight conducted on: 1/7/11
On-site monitoring visit(s) conducted on: 1/10/11
Staff present: Maritza Henry, Jennifer
Lainez, Peter Zelz
Monitoring letter/email sent on: email 11/18/10
Follow-up monitoring visit conducted/letter sent on: none needed
Monitoring conducted by: Edith Alanis

Conformance with Agreement

	Yes	No
1. Did the subrecipient provide the services described in its contract?	✓	
2. Were clients/participants satisfied with the services?	✓	
3. Did the subrecipient meet all of its goals (units of service and performance measures) based upon the contract scope of services and quarterly reports?	✓	
4. Were quarterly reports submitted in a timely manner?	✓	
5. Are reimbursement requests submitted in a timely manner? Did they accurately reflect the level of work accomplished?	✓	
6. Were the staffing levels consistent with the contract?	✓	
7. Did the subrecipient evaluate and monitor the program for its own internal purposes?	✓	
8. Did the agency measure and evaluate its performance outcomes (Units of Service and Performance Measures)?	✓	
9. Were the files consistent with activities described in the contract?	✓	
10. Did the subrecipient demonstrate efforts to seek and apply for other sources of revenue?	✓	
11. Did the subrecipient seek to collaborate with other community agencies?	✓	
12. Does the subrecipient require technical assistance in order to comply with CDBG requirements or to effectively operate the funded program?		✓
13. Does the subrecipient require a corrective action plan?		✓
14. Did the subrecipient comply with all corrective action findings, if any?	✓	✓

Administrative Management

	Yes	No
15. Does the subrecipient maintain comprehensive, orderly, and secured (where necessary) records? For what period of time? <i>10 years</i>	✓	
16. Are insurance certificates and surety bonds current?	✓	
17. Is the City of Sunnyvale named as an additional insured?	✓	
18. Does the agency have a drug free workplace policy?	✓	
19. Has the agency adopted a policy of non-discrimination in personnel policies and hiring practices?	✓	
20. Does the agency maintain and enforce a policy of non-discrimination in the provision of services under this contract?	✓	
21. Do the procedures the subrecipient uses for procurement of goods and services meet CDBG requirements? Review a sample number of procurements.	✓	
22. How does the subrecipient assure that there was no conflict of interest, real or apparent? Review the process and comment. <i>Read copy of policy</i>	—	—

Financial Management

	Yes	No
23. Does the contractor keep a separate budget for this contract?	✓	
24. Is the budget reviewed on an interim basis? Compare the current budget to the budget submitted in the RFP process.	✓	
25. Is there an indirect cost allocation plan? If so, has this plan been approved by HUD?	✓	✓
26. Are internal control systems in compliance with accounting policies and procedures for cash, real and personal property equipment, and other assets?	✓	
27. Is the documentation submitted for reimbursement of funds sufficient to ensure payments are eligible and reasonable?	✓	
28. If the subrecipient generates program income, does its use of the funds comply with CDBG regulations? <i>No program income</i>	—	—
29. Has the organization submitted for review a copy of their annual independent audit covering the most recent fiscal year?		
30. Determine if the subrecipient has expended \$500,000 or more in Federal funds for the subject year. (OMB Circular A-133).	✓	
• IPA required?	✓	
31. Describe any findings or concerns that were cited in the audit or in any accompanying management letter, particularly pertaining to the use of CDBG funds. Also describe any actions taken to correct identified findings or concerns.		



Community Development Block Grant
Human Services Grantees
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Subrecipient: Friends for Youth

Project Name/Agreement No.: 0910-824370

Project Director: Becky Cooper

Document review and general oversight conducted on: _____

On-site monitoring visit(s) conducted on: _____

Staff present: Becky Cooper, Rebecca Duran
Karen Wilmer

Monitoring letter/email sent on: email 11/18/10

Follow-up monitoring visit conducted/letter sent on: none needed

Monitoring conducted by: Edith Alanis

Conformance with Agreement

	Yes	No
1. Did the subrecipient provide the services described in its contract?	✓	
2. Were clients/participants satisfied with the services?	✓	
3. Did the subrecipient meet all of its goals (units of service and performance measures) based upon the contract scope of services and quarterly reports?	✓	
4. Were quarterly reports submitted in a timely manner?	✓	
5. Are reimbursement requests submitted in a timely manner? Did they accurately reflect the level of work accomplished?	✓	
6. Were the staffing levels consistent with the contract?	✓	
7. Did the subrecipient evaluate and monitor the program for its own internal purposes?	✓	
8. Did the agency measure and evaluate its performance outcomes (Units of Service and Performance Measures)?	✓	
9. Were the files consistent with activities described in the contract?	✓	
10. Did the subrecipient demonstrate efforts to seek and apply for other sources of revenue?	✓	
11. Did the subrecipient seek to collaborate with other community agencies?	✓	
12. Does the subrecipient require technical assistance in order to comply with CDBG requirements or to effectively operate the funded program?		✓
13. Does the subrecipient require a corrective action plan?		✓
14. Did the subrecipient comply with all corrective action findings, if any?	—	

Administrative Management

	Yes	No
15. Does the subrecipient maintain comprehensive, orderly, and secured (where necessary) records? For what period of time? <i>31 years so far</i>	✓	
16. Are insurance certificates and surety bonds current?	✓	
17. Is the City of Sunnyvale named as an additional insured?	✓	
18. Does the agency have a drug free workplace policy?	✓	
19. Has the agency adopted a policy of non-discrimination in personnel policies and hiring practices?	✓	
20. Does the agency maintain and enforce a policy of non-discrimination in the provision of services under this contract?	✓	
21. Do the procedures the subrecipient uses for procurement of goods and services meet CDBG requirements? Review a sample number of procurements.	✓	
22. How does the subrecipient assure that there was no conflict of interest, real or apparent? Review the process and comment. <i>policy in place</i>	✓	

Financial Management

	Yes	No
23. Does the contractor keep a separate budget for this contract?	✓	
24. Is the budget reviewed on an interim basis? Compare the current budget to the budget submitted in the RFP process.	✓	
25. Is there an indirect cost allocation plan? If so, has this plan been approved by HUD?		✓
26. Are internal control systems in compliance with accounting policies and procedures for cash, real and personal property equipment, and other assets?	✓	
27. Is the documentation submitted for reimbursement of funds sufficient to ensure payments are eligible and reasonable?	✓	
28. If the subrecipient generates program income, does its use of the funds comply with CDBG regulations?	—	—
29. Has the organization submitted for review a copy of their annual independent audit covering the most recent fiscal year?	✓	
30. Determine if the subrecipient has expended \$500,000 or more in Federal funds for the subject year. (OMB Circular A-133).		✓
• IPA required?		✓
31. Describe any findings or concerns that were cited in the audit or in any accompanying management letter, particularly pertaining to the use of CDBG funds. Also describe any actions taken to correct identified findings or concerns. <i>no findings</i>	—	



Community Development Block Grant
Human Services Grantees
Checklist for Annual On-Site Monitoring
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Subrecipient: The Health Trust - MOW

Project Name/Agreement No.: 0910-824350

Project Director: Renee Kellythorne

Document review and general oversight conducted on: 12/20/10

On-site monitoring visit(s) conducted on: 12/21/10

Staff present: Renee Kellythorne

Susan

Monitoring letter/email sent on: email 11/18/10

Follow-up monitoring visit conducted/letter sent on: none needed

Monitoring conducted by: Edith Alanis

Conformance with Agreement

	Yes	No
1. Did the subrecipient provide the services described in its contract?	✓	
2. Were clients/participants satisfied with the services?	✓	
3. Did the subrecipient meet all of its goals (units of service and performance measures) based upon the contract scope of services and quarterly reports?	✓	
4. Were quarterly reports submitted in a timely manner?	✓	
5. Are reimbursement requests submitted in a timely manner? Did they accurately reflect the level of work accomplished?	✓	
6. Were the staffing levels consistent with the contract?	✓	
7. Did the subrecipient evaluate and monitor the program for its own internal purposes?	✓	
8. Did the agency measure and evaluate its performance outcomes (Units of Service and Performance Measures)?	✓	
9. Were the files consistent with activities described in the contract?	✓	
10. Did the subrecipient demonstrate efforts to seek and apply for other sources of revenue?	✓	
11. Did the subrecipient seek to collaborate with other community agencies?	✓	
12. Does the subrecipient require technical assistance in order to comply with CDBG requirements or to effectively operate the funded program?		✓
13. Does the subrecipient require a corrective action plan?		✓
14. Did the subrecipient comply with all corrective action findings, if any?		

Administrative Management

	Yes	No
15. Does the subrecipient maintain comprehensive, orderly, and secured (where necessary) records? For what period of time?	✓	
16. Are insurance certificates and surety bonds current?	✓	
17. Is the City of Sunnyvale named as an additional insured?	✓	
18. Does the agency have a drug free workplace policy?	✓	
19. Has the agency adopted a policy of non-discrimination in personnel policies and hiring practices?	✓	
20. Does the agency maintain and enforce a policy of non-discrimination in the provision of services under this contract?	✓	
21. Do the procedures the subrecipient uses for procurement of goods and services meet CDBG requirements? Review a sample number of procurements.	✓	
22. How does the subrecipient assure that there was no conflict of interest, real or apparent? Review the process and comment. <i>Revd copy of policy</i>		

Financial Management

	Yes	No
23. Does the contractor keep a separate budget for this contract?	✓	
24. Is the budget reviewed on an interim basis? Compare the current budget to the budget submitted in the RFP process.	✓	
25. Is there an indirect cost allocation plan? If so, has this plan been approved by HUD?		✓
26. Are internal control systems in compliance with accounting policies and procedures for cash, real and personal property equipment, and other assets?	✓	
27. Is the documentation submitted for reimbursement of funds sufficient to ensure payments are eligible and reasonable?	✓	
28. If the subrecipient generates program income, does its use of the funds comply with CDBG regulations? <i>No program income, some donations</i>	✓	
29. Has the organization submitted for review a copy of their annual independent audit covering the most recent fiscal year?	✓	
30. Determine if the subrecipient has expended \$500,000 or more in Federal funds for the subject year. (OMB Circular A-133).	✓	
• IPA required?	✓	
31. Describe any findings or concerns that were cited in the audit or in any accompanying management letter, particularly pertaining to the use of CDBG funds. Also describe any actions taken to correct identified findings or concerns. <i>NO significant findings</i>		



Community Development Block Grant
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Subrecipient: Live Oak Adult Day Services
Project Name/Agreement No.: 0910-825870
Project Director: Colleen Hudgen
Document review and general oversight conducted on: 12/17/10
On-site monitoring visit(s) conducted on: 12/20/10
Staff present: Colleen Hudgen
Tiburcia Irving
Monitoring letter/email sent on: email 11/18/10
Follow-up monitoring visit conducted/letter sent on: none needed
Monitoring conducted by: Edith Alanis

Conformance with Agreement

	Yes	No
1. Did the subrecipient provide the services described in its contract?	✓	
2. Were clients/participants satisfied with the services?	✓	
3. Did the subrecipient meet all of its goals (units of service and performance measures) based upon the contract scope of services and quarterly reports?	✓	
4. Were quarterly reports submitted in a timely manner?	✓	
5. Are reimbursement requests submitted in a timely manner? Did they accurately reflect the level of work accomplished?	✓	
6. Were the staffing levels consistent with the contract?	✓	
7. Did the subrecipient evaluate and monitor the program for its own internal purposes?	✓	
8. Did the agency measure and evaluate its performance outcomes (Units of Service and Performance Measures)?	✓	
9. Were the files consistent with activities described in the contract?	✓	
10. Did the subrecipient demonstrate efforts to seek and apply for other sources of revenue?	✓	
11. Did the subrecipient seek to collaborate with other community agencies?	✓	
12. Does the subrecipient require technical assistance in order to comply with CDBG requirements or to effectively operate the funded program?		✓
13. Does the subrecipient require a corrective action plan?		✓
14. Did the subrecipient comply with all corrective action findings, if any?	—	—

Administrative Management

	Yes	No
15. Does the subrecipient maintain comprehensive, orderly, and secured (where necessary) records? For what period of time? <i>forever, minimum 5 yrs</i>	✓	
16. Are insurance certificates and surety bonds current?	✓	
17. Is the City of Sunnyvale named as an additional insured?	✓	
18. Does the agency have a drug free workplace policy?	✓	
19. Has the agency adopted a policy of non-discrimination in personnel policies and hiring practices?	✓	
20. Does the agency maintain and enforce a policy of non-discrimination in the provision of services under this contract?	✓	
21. Do the procedures the subrecipient uses for procurement of goods and services meet CDBG requirements? Review a sample number of procurements.	✓	
22. How does the subrecipient assure that there was no conflict of interest, real or apparent? Review the process and comment. <i>Policy in review</i>		—

Financial Management

	Yes	No
23. Does the contractor keep a separate budget for this contract?	✓	
24. Is the budget reviewed on an interim basis? Compare the current budget to the budget submitted in the RFP process.	✓	
25. Is there an indirect cost allocation plan? If so, has this plan been approved by HUD?		✓
26. Are internal control systems in compliance with accounting policies and procedures for cash, real and personal property equipment, and other assets?	✓	
27. Is the documentation submitted for reimbursement of funds sufficient to ensure payments are eligible and reasonable?	✓	
28. If the subrecipient generates program income, does its use of the funds comply with CDBG regulations? <i>sliding scale fees</i>	✓	
29. Has the organization submitted for review a copy of their annual independent audit covering the most recent fiscal year?	✓	
30. Determine if the subrecipient has expended \$500,000 or more in Federal funds for the subject year. (OMB Circular A-133).		✓
• IPA required?		✓
31. Describe any findings or concerns that were cited in the audit or in any accompanying management letter, particularly pertaining to the use of CDBG funds. Also describe any actions taken to correct identified findings or concerns. <i>no findings</i>		—



Community Development Block Grant
Human Services Grantees
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Subrecipient: MayView Community Health Center
Project Name/Agreement No.: 0910-828450
Project Director: Shamina Hasan
Document review and general oversight conducted on: 11/30/10
On-site monitoring visit(s) conducted on: 12/1/10
Staff present: Shamina Hasan
Monitoring letter/email sent on: email 11/18/10
Follow-up monitoring visit conducted/letter sent on: none needed
Monitoring conducted by: Edith Alanis

Conformance with Agreement

	Yes	No
1. Did the subrecipient provide the services described in its contract?	✓	
2. Were clients/participants satisfied with the services?	✓	
3. Did the subrecipient meet all of its goals (units of service and performance measures) based upon the contract scope of services and quarterly reports?	✓	
4. Were quarterly reports submitted in a timely manner?	✓	
5. Are reimbursement requests submitted in a timely manner? Did they accurately reflect the level of work accomplished?	✓	
6. Were the staffing levels consistent with the contract?	✓	
7. Did the subrecipient evaluate and monitor the program for its own internal purposes?	✓	
8. Did the agency measure and evaluate its performance outcomes (Units of Service and Performance Measures)? <u>Dashboard</u>	✓	
9. Were the files consistent with activities described in the contract?	✓	
10. Did the subrecipient demonstrate efforts to seek and apply for other sources of revenue?	✓	
11. Did the subrecipient seek to collaborate with other community agencies?	✓	
12. Does the subrecipient require technical assistance in order to comply with CDBG requirements or to effectively operate the funded program?		✓
13. Does the subrecipient require a corrective action plan?		✓
14. Did the subrecipient comply with all corrective action findings, if any?	✓	

Administrative Management

	Yes	No
15. Does the subrecipient maintain comprehensive, orderly, and secured (where necessary) records? For what period of time? <i>Adults 7yrs - Children 21yrs</i>	✓	
16. Are insurance certificates and surety bonds current?	✓	
17. Is the City of Sunnyvale named as an additional insured?	✓	
18. Does the agency have a drug free workplace policy?	✓	
19. Has the agency adopted a policy of non-discrimination in personnel policies and hiring practices?	✓	
20. Does the agency maintain and enforce a policy of non-discrimination in the provision of services under this contract?	✓	
21. Do the procedures the subrecipient uses for procurement of goods and services meet CDBG requirements? Review a sample number of procurements.	✓	
22. How does the subrecipient assure that there was no conflict of interest, real or apparent? Review the process and comment. <i>Rec'd copy of policy</i>	✓	

Financial Management

	Yes	No
23. Does the contractor keep a separate budget for this contract?	✓	
24. Is the budget reviewed on an interim basis? Compare the current budget to the budget submitted in the RFP process.	✓	
25. Is there an indirect cost allocation plan? If so, has this plan been approved by HUD?		✓
26. Are internal control systems in compliance with accounting policies and procedures for cash, real and personal property equipment, and other assets?	✓	
27. Is the documentation submitted for reimbursement of funds sufficient to ensure payments are eligible and reasonable?	✓	
28. If the subrecipient generates program income, does its use of the funds comply with CDBG regulations? <i>Sliding scale fees</i>	✓	
29. Has the organization submitted for review a copy of their annual independent audit covering the most recent fiscal year?	✓	
30. Determine if the subrecipient has expended \$500,000 or more in Federal funds for the subject year. (OMB Circular A-133).		✓
• IPA required?		✓
31. Describe any findings or concerns that were cited in the audit or in any accompanying management letter, particularly pertaining to the use of CDBG funds. Also describe any actions taken to correct identified findings or concerns. <i>No significant findings</i>		



**Community Development Block Grant
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Subrecipient: Outreach & Escort (STAR)
Project Name/Agreement No.: 0910-827200
Project Director: Lien Nguyen
Document review and general oversight conducted on: 12/2/10
On-site monitoring visit(s) conducted on: 12/3/10
Staff present: Lien Nguyen
Monitoring letter/email sent on: email 4/18/10
Follow-up monitoring visit conducted/letter sent on: none needed.
Monitoring conducted by: Edith Alanis

Conformance with Agreement

	Yes	No
1. Did the subrecipient provide the services described in its contract?	✓	
2. Were clients/participants satisfied with the services?	✓	
3. Did the subrecipient meet all of its goals (units of service and performance measures) based upon the contract scope of services and quarterly reports?	✓	
4. Were quarterly reports submitted in a timely manner?	✓	
5. Are reimbursement requests submitted in a timely manner? Did they accurately reflect the level of work accomplished?	✓	
6. Were the staffing levels consistent with the contract?	✓	
7. Did the subrecipient evaluate and monitor the program for its own internal purposes?	✓	
8. Did the agency measure and evaluate its performance outcomes (Units of Service and Performance Measures)?	✓	
9. Were the files consistent with activities described in the contract?	✓	
10. Did the subrecipient demonstrate efforts to seek and apply for other sources of revenue?	✓	
11. Did the subrecipient seek to collaborate with other community agencies?	✓	
12. Does the subrecipient require technical assistance in order to comply with CDBG requirements or to effectively operate the funded program?		✓
13. Does the subrecipient require a corrective action plan?		✓
14. Did the subrecipient comply with all corrective action findings, if any?	✓	

Administrative Management

	Yes	No
15. Does the subrecipient maintain comprehensive, orderly, and secured (where necessary) records? For what period of time? <i>5 years</i>	✓	
16. Are insurance certificates and surety bonds current?	✓	
17. Is the City of Sunnyvale named as an additional insured?	✓	
18. Does the agency have a drug free workplace policy?	✓	
19. Has the agency adopted a policy of non-discrimination in personnel policies and hiring practices?	✓	
20. Does the agency maintain and enforce a policy of non-discrimination in the provision of services under this contract?	✓	
21. Do the procedures the subrecipient uses for procurement of goods and services meet CDBG requirements? Review a sample number of procurements.	✓	
22. How does the subrecipient assure that there was no conflict of interest, real or apparent? Review the process and comment. <i>Policy in place</i>	—	

Financial Management

	Yes	No
23. Does the contractor keep a separate budget for this contract?	✓	
24. Is the budget reviewed on an interim basis? Compare the current budget to the budget submitted in the RFP process.	✓	
25. Is there an indirect cost allocation plan? If so, has this plan been approved by HUD?		✓
26. Are internal control systems in compliance with accounting policies and procedures for cash, real and personal property equipment, and other assets?	✓	
27. Is the documentation submitted for reimbursement of funds sufficient to ensure payments are eligible and reasonable?	✓	
28. If the subrecipient generates program income, does its use of the funds comply with CDBG regulations? <i>no program income</i>	—	—
29. Has the organization submitted for review a copy of their annual independent audit covering the most recent fiscal year?	✓	
30. Determine if the subrecipient has expended \$500,000 or more in Federal funds for the subject year. (OMB Circular A-133).	✓	
• IPA required?	✓	
31. Describe any findings or concerns that were cited in the audit or in any accompanying management letter, particularly pertaining to the use of CDBG funds. Also describe any actions taken to correct identified findings or concerns. <i>no findings</i>	—	



Community Development Block Grant
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Subrecipient: Santa Clara Family Health Foundation

Project Name/Agreement No.: 0910-828460

Project Director: Kathleen King

Document review and general oversight conducted on: 1/4/11

On-site monitoring visit(s) conducted on: 1/5/11

Staff present: Emily Hennessy

Monitoring letter/email sent on: email 11/18/10

Follow-up monitoring visit conducted/letter sent on: none needed.

Monitoring conducted by: Edith Alanis

Conformance with Agreement

	Yes	No
1. Did the subrecipient provide the services described in its contract?	✓	
2. Were clients/participants satisfied with the services?	✓	
3. Did the subrecipient meet all of its goals (units of service and performance measures) based upon the contract scope of services and quarterly reports?	✓	
4. Were quarterly reports submitted in a timely manner?	✓	
5. Are reimbursement requests submitted in a timely manner? Did they accurately reflect the level of work accomplished?	✓	
6. Were the staffing levels consistent with the contract?	✓	
7. Did the subrecipient evaluate and monitor the program for its own internal purposes?	✓	
8. Did the agency measure and evaluate its performance outcomes (Units of Service and Performance Measures)?	✓	
9. Were the files consistent with activities described in the contract?	✓	
10. Did the subrecipient demonstrate efforts to seek and apply for other sources of revenue?	✓	
11. Did the subrecipient seek to collaborate with other community agencies?	✓	
12. Does the subrecipient require technical assistance in order to comply with CDBG requirements or to effectively operate the funded program?		✓
13. Does the subrecipient require a corrective action plan?		✓
14. Did the subrecipient comply with all corrective action findings, if any?	—	—

Administrative Management

	Yes	No
15. Does the subrecipient maintain comprehensive, orderly, and secured (where necessary) records? For what period of time? <i>e files, indefinitely</i>	✓	
16. Are insurance certificates and surety bonds current?	✓	
17. Is the City of Sunnyvale named as an additional insured?	✓	
18. Does the agency have a drug free workplace policy?	✓	
19. Has the agency adopted a policy of non-discrimination in personnel policies and hiring practices?	✓	
20. Does the agency maintain and enforce a policy of non-discrimination in the provision of services under this contract?	✓	
21. Do the procedures the subrecipient uses for procurement of goods and services meet CDBG requirements? Review a sample number of procurements.	✓	
22. How does the subrecipient assure that there was no conflict of interest, real or apparent? Review the process and comment. <i>Policy in place</i>		—

Financial Management

	Yes	No
23. Does the contractor keep a separate budget for this contract? <i>funding source clearly defined</i>		✓
24. Is the budget reviewed on an interim basis? Compare the current budget to the budget submitted in the RFP process.	✓	
25. Is there an indirect cost allocation plan? If so, has this plan been approved by HUD?		✓
26. Are internal control systems in compliance with accounting policies and procedures for cash, real and personal property equipment, and other assets?	✓	
27. Is the documentation submitted for reimbursement of funds sufficient to ensure payments are eligible and reasonable?	✓	
28. If the subrecipient generates program income, does its use of the funds comply with CDBG regulations?	✓	
29. Has the organization submitted for review a copy of their annual independent audit covering the most recent fiscal year?		
30. Determine if the subrecipient has expended \$500,000 or more in Federal funds for the subject year. (OMB Circular A-133).		✓
• IPA required?		—
31. Describe any findings or concerns that were cited in the audit or in any accompanying management letter, particularly pertaining to the use of CDBG funds. Also describe any actions taken to correct identified findings or concerns. <i>no findings</i>		



**Community Development Block Grant
Human Services Grantees
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Subrecipient: Second Harvest Food Bank

Project Name/Agreement No.: 0910-827230

Project Director: Lori Mathis

Document review and general oversight conducted on: 12/21/10

On-site monitoring visit(s) conducted on: 12/22/10

Staff present: Lori Mathis

Monitoring letter/email sent on: email 11/18/10

Follow-up monitoring visit conducted/letter sent on: none needed

Monitoring conducted by: Edith Alanis

Conformance with Agreement

	Yes	No
1. Did the subrecipient provide the services described in its contract?	✓	
2. Were clients/participants satisfied with the services?	✓	
3. Did the subrecipient meet all of its goals (units of service and performance measures) based upon the contract scope of services and quarterly reports?	✓	
4. Were quarterly reports submitted in a timely manner?	✓	
5. Are reimbursement requests submitted in a timely manner? Did they accurately reflect the level of work accomplished?	✓	
6. Were the staffing levels consistent with the contract?	✓	
7. Did the subrecipient evaluate and monitor the program for its own internal purposes?	✓	
8. Did the agency measure and evaluate its performance outcomes (Units of Service and Performance Measures)?	✓	
9. Were the files consistent with activities described in the contract?	✓	
10. Did the subrecipient demonstrate efforts to seek and apply for other sources of revenue?	✓	
11. Did the subrecipient seek to collaborate with other community agencies?	✓	
12. Does the subrecipient require technical assistance in order to comply with CDBG requirements or to effectively operate the funded program?		✓
13. Does the subrecipient require a corrective action plan?		✓
14. Did the subrecipient comply with all corrective action findings, if any?	✓	

Administrative Management

	Yes	No
15. Does the subrecipient maintain comprehensive, orderly, and secured (where necessary) records? For what period of time? <i>5 years</i>	✓	
16. Are insurance certificates and surety bonds current?	✓	
17. Is the City of Sunnyvale named as an additional insured?	✓	
18. Does the agency have a drug free workplace policy?	✓	
19. Has the agency adopted a policy of non-discrimination in personnel policies and hiring practices?	✓	
20. Does the agency maintain and enforce a policy of non-discrimination in the provision of services under this contract?	✓	
21. Do the procedures the subrecipient uses for procurement of goods and services meet CDBG requirements? Review a sample number of procurements.	✓	
22. How does the subrecipient assure that there was no conflict of interest, real or apparent? Review the process and comment. <i>copy received</i>	✓	

Financial Management

	Yes	No
23. Does the contractor keep a separate budget for this contract?	✓	
24. Is the budget reviewed on an interim basis? Compare the current budget to the budget submitted in the RFP process.	✓	
25. Is there an indirect cost allocation plan? If so, has this plan been approved by HUD?		✓
26. Are internal control systems in compliance with accounting policies and procedures for cash, real and personal property equipment, and other assets?	✓	
27. Is the documentation submitted for reimbursement of funds sufficient to ensure payments are eligible and reasonable?	✓	
28. If the subrecipient generates program income, does its use of the funds comply with CDBG regulations? <i>no program income</i>	—	
29. Has the organization submitted for review a copy of their annual independent audit covering the most recent fiscal year?	✓	
30. Determine if the subrecipient has expended \$500,000 or more in Federal funds for the subject year. (OMB Circular A-133).	✓	
• IPA required?	✓	
31. Describe any findings or concerns that were cited in the audit or in any accompanying management letter, particularly pertaining to the use of CDBG funds. Also describe any actions taken to correct identified findings or concerns. <i>No significant findings</i>	—	



Community Development Block Grant
Human Services Grantees
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Subrecipient: Senior Adults Legal Assistance
Project Name/Agreement No.: 0910-827790
Project Director: Georgia Bacil
Document review and general oversight conducted on: 1/20/11
On-site monitoring visit(s) conducted on: 1/24/11
Staff present: Georgia Bacil
Monitoring letter/email sent on: email 11/18/10
Follow-up monitoring visit conducted/letter sent on: none needed
Monitoring conducted by: Edith Alanis

Conformance with Agreement

	Yes	No
1. Did the subrecipient provide the services described in its contract?	✓	
2. Were clients/participants satisfied with the services?	✓	
3. Did the subrecipient meet all of its goals (units of service and performance measures) based upon the contract scope of services and quarterly reports?	✓	
4. Were quarterly reports submitted in a timely manner?	✓	
5. Are reimbursement requests submitted in a timely manner? Did they accurately reflect the level of work accomplished?	✓	
6. Were the staffing levels consistent with the contract?	✓	
7. Did the subrecipient evaluate and monitor the program for its own internal purposes?	✓	
8. Did the agency measure and evaluate its performance outcomes (Units of Service and Performance Measures)?	✓	
9. Were the files consistent with activities described in the contract?	✓	
10. Did the subrecipient demonstrate efforts to seek and apply for other sources of revenue?	✓	
11. Did the subrecipient seek to collaborate with other community agencies?	✓	
12. Does the subrecipient require technical assistance in order to comply with CDBG requirements or to effectively operate the funded program?		✓
13. Does the subrecipient require a corrective action plan?		✓
14. Did the subrecipient comply with all corrective action findings, if any?	—	—

Administrative Management

	Yes	No
15. Does the subrecipient maintain comprehensive, orderly, and secured (where necessary) records? For what period of time? <i>10 years</i>	✓	
16. Are insurance certificates and surety bonds current?	✓	
17. Is the City of Sunnyvale named as an additional insured?	✓	
18. Does the agency have a drug free workplace policy?	✓	
19. Has the agency adopted a policy of non-discrimination in personnel policies and hiring practices?	✓	
20. Does the agency maintain and enforce a policy of non-discrimination in the provision of services under this contract?	✓	
21. Do the procedures the subrecipient uses for procurement of goods and services meet CDBG requirements? Review a sample number of procurements.	✓	
22. How does the subrecipient assure that there was no conflict of interest, real or apparent? Review the process and comment. <i>Reval copy of policy</i>	✓	

Financial Management

	Yes	No
23. Does the contractor keep a separate budget for this contract?	✓	
24. Is the budget reviewed on an interim basis? Compare the current budget to the budget submitted in the RFP process.	✓	
25. Is there an indirect cost allocation plan? If so, has this plan been approved by HUD?		✓
26. Are internal control systems in compliance with accounting policies and procedures for cash, real and personal property equipment, and other assets?	✓	
27. Is the documentation submitted for reimbursement of funds sufficient to ensure payments are eligible and reasonable?	✓	
28. If the subrecipient generates program income, does its use of the funds comply with CDBG regulations? <i>no fees</i>	—	—
29. Has the organization submitted for review a copy of their annual independent audit covering the most recent fiscal year?	✓	
30. Determine if the subrecipient has expended \$500,000 or more in Federal funds for the subject year. (OMB Circular A-133).		✓
• IPA required?		✓
31. Describe any findings or concerns that were cited in the audit or in any accompanying management letter, particularly pertaining to the use of CDBG funds. Also describe any actions taken to correct identified findings or concerns. <i>No significant findings</i>		✓



Community Development Block Grant
Human Services Grantees
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Subrecipient: Senior Housing Solutions

Project Name/Agreement No.: 0910-827770

Project Director: Bob Campbell

Document review and general oversight conducted on: 1/10/11

On-site monitoring visit(s) conducted on: 1/11/11

Staff present: Bob Campbell

Monitoring letter/email sent on: email 11/18/10

Follow-up monitoring visit conducted/letter sent on: none needed

Monitoring conducted by: Edith Alanis

Conformance with Agreement

	Yes	No
1. Did the subrecipient provide the services described in its contract?	✓	
2. Were clients/participants satisfied with the services?	✓	
3. Did the subrecipient meet all of its goals (units of service and performance measures) based upon the contract scope of services and quarterly reports?	✓	
4. Were quarterly reports submitted in a timely manner?	✓	
5. Are reimbursement requests submitted in a timely manner? Did they accurately reflect the level of work accomplished?	✓	
6. Were the staffing levels consistent with the contract?	✓	
7. Did the subrecipient evaluate and monitor the program for its own internal purposes?	✓	
8. Did the agency measure and evaluate its performance outcomes (Units of Service and Performance Measures)?	✓	
9. Were the files consistent with activities described in the contract?	✓	
10. Did the subrecipient demonstrate efforts to seek and apply for other sources of revenue?	✓	
11. Did the subrecipient seek to collaborate with other community agencies?	✓	
12. Does the subrecipient require technical assistance in order to comply with CDBG requirements or to effectively operate the funded program?		✓
13. Does the subrecipient require a corrective action plan?		✓
14. Did the subrecipient comply with all corrective action findings, if any?	—	

Administrative Management

	Yes	No
15. Does the subrecipient maintain comprehensive, orderly, and secured (where necessary) records? For what period of time? <i>indefinitely</i>	✓	
16. Are insurance certificates and surety bonds current?	✓	
17. Is the City of Sunnyvale named as an additional insured?	✓	
18. Does the agency have a drug free workplace policy?	✓	
19. Has the agency adopted a policy of non-discrimination in personnel policies and hiring practices?	✓	
20. Does the agency maintain and enforce a policy of non-discrimination in the provision of services under this contract?	✓	
21. Do the procedures the subrecipient uses for procurement of goods and services meet CDBG requirements? Review a sample number of procurements.	✓	
22. How does the subrecipient assure that there was no conflict of interest, real or apparent? Review the process and comment.	✓	

Financial Management

	Yes	No
23. Does the contractor keep a separate budget for this contract?	✓	
24. Is the budget reviewed on an interim basis? Compare the current budget to the budget submitted in the RFP process.	✓	
25. Is there an indirect cost allocation plan? If so, has this plan been approved by HUD?		✓
26. Are internal control systems in compliance with accounting policies and procedures for cash, real and personal property equipment, and other assets?	✓	
27. Is the documentation submitted for reimbursement of funds sufficient to ensure payments are eligible and reasonable?	✓	
28. If the subrecipient generates program income, does its use of the funds comply with CDBG regulations?	—	
29. Has the organization submitted for review a copy of their annual independent audit covering the most recent fiscal year?	✓	
30. Determine if the subrecipient has expended \$500,000 or more in Federal funds for the subject year. (OMB Circular A-133).		✓
• IPA required?		✓
31. Describe any findings or concerns that were cited in the audit or in any accompanying management letter, particularly pertaining to the use of CDBG funds. Also describe any actions taken to correct identified findings or concerns. <i>no significant findings</i>	—	



Community Development Block Grant
Human Services Grantees
Checklist for Annual On-Site Monitoring
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Subrecipient: Senior Nutrition Program
Project Name/Agreement No.: 0910-811351
Project Director: Joan Smithson
Document review and general oversight conducted on: 1/3/11
On-site monitoring visit(s) conducted on: 1/4/11
Staff present: Joan Smithson

Monitoring letter/email sent on: email 11/18/10
Follow-up monitoring visit conducted/letter sent on: none needed
Monitoring conducted by: Edith Alanis

Conformance with Agreement

	Yes	No
1. Did the subrecipient provide the services described in its contract?	✓	
2. Were clients/participants satisfied with the services?	✓	
3. Did the subrecipient meet all of its goals (units of service and performance measures) based upon the contract scope of services and quarterly reports?	✓	
4. Were quarterly reports submitted in a timely manner?	✓	
5. Are reimbursement requests submitted in a timely manner? Did they accurately reflect the level of work accomplished?	✓	
6. Were the staffing levels consistent with the contract?	✓	
7. Did the subrecipient evaluate and monitor the program for its own internal purposes?	✓	
8. Did the agency measure and evaluate its performance outcomes (Units of Service and Performance Measures)?	✓	
9. Were the files consistent with activities described in the contract?	✓	
10. Did the subrecipient demonstrate efforts to seek and apply for other sources of revenue?	✓	
11. Did the subrecipient seek to collaborate with other community agencies?	✓	
12. Does the subrecipient require technical assistance in order to comply with CDBG requirements or to effectively operate the funded program?		✓
13. Does the subrecipient require a corrective action plan?		✓
14. Did the subrecipient comply with all corrective action findings, if any?		—

Administrative Management

	Yes	No
15. Does the subrecipient maintain comprehensive, orderly, and secured (where necessary) records? For what period of time? <i>5 years</i>	✓	
16. Are insurance certificates and surety bonds current?	✓	
17. Is the <i>City of Sunnyvale</i> named as an additional insured?	✓	
18. Does the agency have a drug free workplace policy?	✓	
19. Has the agency adopted a policy of non-discrimination in personnel policies and hiring practices?	✓	
20. Does the agency maintain and enforce a policy of non-discrimination in the provision of services under this contract?	✓	
21. Do the procedures the subrecipient uses for procurement of goods and services meet CDBG requirements? Review a sample number of procurements.	✓	
22. How does the subrecipient assure that there was no conflict of interest, real or apparent? Review the process and comment. <i>New manual addressing this</i>	✓	

Financial Management

	Yes	No
23. Does the contractor keep a separate budget for this contract?	✓	
24. Is the budget reviewed on an interim basis? Compare the current budget to the budget submitted in the RFP process.	✓	
25. Is there an indirect cost allocation plan? If so, has this plan been approved by HUD?		
26. Are internal control systems in compliance with accounting policies and procedures for cash, real and personal property equipment, and other assets?	✓	
27. Is the documentation submitted for reimbursement of funds sufficient to ensure payments are eligible and reasonable?	✓	
28. If the subrecipient generates program income, does its use of the funds comply with CDBG regulations? <i>voluntary donations</i>	✓	
29. Has the organization submitted for review a copy of their annual independent audit covering the most recent fiscal year?	✓	
30. Determine if the subrecipient has expended \$500,000 or more in Federal funds for the subject year. (OMB Circular A-133).		✓
• IPA required?		✓
31. Describe any findings or concerns that were cited in the audit or in any accompanying management letter, particularly pertaining to the use of CDBG funds. Also describe any actions taken to correct identified findings or concerns. <i>no findings</i>		✓



**Community Development Block Grant
Human Services Grantees
Checklist for Annual On-Site Monitoring
FY 2009-10**

Subrecipient: Sunnyvale Community Services
Project Name/Agreement No.: 0910-803601/828130
Project Director: Marie Bernard
Document review and general oversight conducted on: 2/10/11
On-site monitoring visit(s) conducted on: 2/14/11
Staff present: Marie Bernard, Carmen Davis, Martha Montenegro
Monitoring letter/email sent on: email 11/18/10
Follow-up monitoring visit conducted/letter sent on: none needed
Monitoring conducted by: Edith Alanis

Conformance with Agreement

	Yes	No
1. Did the subrecipient provide the services described in its contract?	✓	
2. Were clients/participants satisfied with the services?	✓	
3. Did the subrecipient meet all of its goals (units of service and performance measures) based upon the contract scope of services and quarterly reports?	✓	
4. Were quarterly reports submitted in a timely manner?	✓	
5. Are reimbursement requests submitted in a timely manner? Did they accurately reflect the level of work accomplished?	✓	
6. Were the staffing levels consistent with the contract?	✓	
7. Did the subrecipient evaluate and monitor the program for its own internal purposes?	✓	
8. Did the agency measure and evaluate its performance outcomes (Units of Service and Performance Measures)?	✓	
9. Were the files consistent with activities described in the contract?	✓	
10. Did the subrecipient demonstrate efforts to seek and apply for other sources of revenue?	✓	
11. Did the subrecipient seek to collaborate with other community agencies?	✓	
12. Does the subrecipient require technical assistance in order to comply with CDBG requirements or to effectively operate the funded program?	✓	
13. Does the subrecipient require a corrective action plan?		✓
14. Did the subrecipient comply with all corrective action findings, if any?		

Administrative Management

	Yes	No
15. Does the subrecipient maintain comprehensive, orderly, and secured (where necessary) records? For what period of time? <i>Digital/electronic records</i>	✓	
16. Are insurance certificates and surety bonds current?	✓	
17. Is the City of Sunnyvale named as an additional insured?	✓	
18. Does the agency have a drug free workplace policy?	✓	
19. Has the agency adopted a policy of non-discrimination in personnel policies and hiring practices?	✓	
20. Does the agency maintain and enforce a policy of non-discrimination in the provision of services under this contract?	✓	
21. Do the procedures the subrecipient uses for procurement of goods and services meet CDBG requirements? Review a sample number of procurements.	✓	
22. How does the subrecipient assure that there was no conflict of interest, real or apparent? Review the process and comment. <i>Policy received</i>	—	—

Financial Management

	Yes	No
23. Does the contractor keep a separate budget for this contract?	✓	
24. Is the budget reviewed on an interim basis? Compare the current budget to the budget submitted in the RFP process.	✓	
25. Is there an indirect cost allocation plan? If so, has this plan been approved by HUD?		✓
26. Are internal control systems in compliance with accounting policies and procedures for cash, real and personal property equipment, and other assets?	✓	
27. Is the documentation submitted for reimbursement of funds sufficient to ensure payments are eligible and reasonable?	✓	
28. If the subrecipient generates program income, does its use of the funds comply with CDBG regulations? <i>No fees</i>		✓
29. Has the organization submitted for review a copy of their annual independent audit covering the most recent fiscal year?	✓	
30. Determine if the subrecipient has expended \$500,000 or more in Federal funds for the subject year. (OMB Circular A-133).	✓	
• IPA required? <i>First time due to ABFA funds</i>	✓	
31. Describe any findings or concerns that were cited in the audit or in any accompanying management letter, particularly pertaining to the use of CDBG funds. Also describe any actions taken to correct identified findings or concerns. <i>No significant finding</i>	—	—



Community Development Block Grant
Human Services Grantees
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FY 2009-10

Subrecipient: West Valley Community Services
Project Name/Agreement No.: 0910-828470
Project Director: Sujatha Venkatraman
Document review and general oversight conducted on: 12/27/10
On-site monitoring visit(s) conducted on: 12/28/10
Staff present: Sujatha Venkatraman
Monitoring letter/email sent on: email 11/18/10
Follow-up monitoring visit conducted/letter sent on: none needed
Monitoring conducted by: Edith Alanis

Conformance with Agreement

	Yes	No
1. Did the subrecipient provide the services described in its contract?	✓	
2. Were clients/participants satisfied with the services?	✓	
3. Did the subrecipient meet all of its goals (units of service and performance measures) based upon the contract scope of services and quarterly reports?	✓	
4. Were quarterly reports submitted in a timely manner?	✓	
5. Are reimbursement requests submitted in a timely manner? Did they accurately reflect the level of work accomplished?	✓	
6. Were the staffing levels consistent with the contract?	✓	
7. Did the subrecipient evaluate and monitor the program for its own internal purposes?	✓	
8. Did the agency measure and evaluate its performance outcomes (Units of Service and Performance Measures)?	✓	
9. Were the files consistent with activities described in the contract?	✓	
10. Did the subrecipient demonstrate efforts to seek and apply for other sources of revenue?	✓	
11. Did the subrecipient seek to collaborate with other community agencies?	✓	
12. Does the subrecipient require technical assistance in order to comply with CDBG requirements or to effectively operate the funded program?		✓
13. Does the subrecipient require a corrective action plan?		✓
14. Did the subrecipient comply with all corrective action findings, if any?	✓	

Administrative Management

	Yes	No
15. Does the subrecipient maintain comprehensive, orderly, and secured (where necessary) records? For what period of time? <i>10 years</i>	✓	
16. Are insurance certificates and surety bonds current?	✓	
17. Is the City of Sunnyvale named as an additional insured?	✓	
18. Does the agency have a drug free workplace policy?	✓	
19. Has the agency adopted a policy of non-discrimination in personnel policies and hiring practices?	✓	
20. Does the agency maintain and enforce a policy of non-discrimination in the provision of services under this contract?	✓	
21. Do the procedures the subrecipient uses for procurement of goods and services meet CDBG requirements? Review a sample number of procurements.	✓	
22. How does the subrecipient assure that there was no conflict of interest, real or apparent? Review the process and comment. <i>policy in place</i>	✓	

Financial Management

	Yes	No
23. Does the contractor keep a separate budget for this contract?	✓	
24. Is the budget reviewed on an interim basis? Compare the current budget to the budget submitted in the RFP process.	✓	
25. Is there an indirect cost allocation plan? If so, has this plan been approved by HUD?		✓
26. Are internal control systems in compliance with accounting policies and procedures for cash, real and personal property equipment, and other assets?	✓	
27. Is the documentation submitted for reimbursement of funds sufficient to ensure payments are eligible and reasonable?	✓	
28. If the subrecipient generates program income, does its use of the funds comply with CDBG regulations? <i>no program income</i>		—
29. Has the organization submitted for review a copy of their annual independent audit covering the most recent fiscal year?	✓	
30. Determine if the subrecipient has expended \$500,000 or more in Federal funds for the subject year. (OMB Circular A-133).	✓	
• IPA required? <i>Due to ARRA funding, first time.</i>	✓	
31. Describe any findings or concerns that were cited in the audit or in any accompanying management letter, particularly pertaining to the use of CDBG funds. Also describe any actions taken to correct identified findings or concerns. <i>no findings.</i>	—	—



Community Development Block Grant
Human Services Grantees
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Subrecipient: YWCA-Support Network
Project Name/Agreement No.: 0910-800851
Project Director: Adriana Caldera
Document review and general oversight conducted on: 1/25/11
On-site monitoring visit(s) conducted on: 1/26/11
Staff present: Adriana Caldera
Monitoring letter/email sent on: email 11/18/10
Follow-up monitoring visit conducted/letter sent on: none needed
Monitoring conducted by: Edith Alanis

Conformance with Agreement

	Yes	No
1. Did the subrecipient provide the services described in its contract?	✓	
2. Were clients/participants satisfied with the services?	✓	
3. Did the subrecipient meet all of its goals (units of service and performance measures) based upon the contract scope of services and quarterly reports?	✓	
4. Were quarterly reports submitted in a timely manner?	✓	
5. Are reimbursement requests submitted in a timely manner? Did they accurately reflect the level of work accomplished?	✓	
6. Were the staffing levels consistent with the contract?	✓	
7. Did the subrecipient evaluate and monitor the program for its own internal purposes?	✓	
8. Did the agency measure and evaluate its performance outcomes (Units of Service and Performance Measures)?	✓	
9. Were the files consistent with activities described in the contract?	✓	
10. Did the subrecipient demonstrate efforts to seek and apply for other sources of revenue?	✓	
11. Did the subrecipient seek to collaborate with other community agencies?	✓	
12. Does the subrecipient require technical assistance in order to comply with CDBG requirements or to effectively operate the funded program?		✓
13. Does the subrecipient require a corrective action plan?		✓
14. Did the subrecipient comply with all corrective action findings, if any?	—	—

Administrative Management

	Yes	No
15. Does the subrecipient maintain comprehensive, orderly, and secured (where necessary) records? For what period of time? <i>7 years</i>	✓	
16. Are insurance certificates and surety bonds current?	✓	
17. Is the City of Sunnyvale named as an additional insured?	✓	
18. Does the agency have a drug free workplace policy?	✓	
19. Has the agency adopted a policy of non-discrimination in personnel policies and hiring practices?	✓	
20. Does the agency maintain and enforce a policy of non-discrimination in the provision of services under this contract?	✓	
21. Do the procedures the subrecipient uses for procurement of goods and services meet CDBG requirements? Review a sample number of procurements.	✓	
22. How does the subrecipient assure that there was no conflict of interest, real or apparent? Review the process and comment. <i>Policy in place</i>	—	—

Financial Management

	Yes	No
23. Does the contractor keep a separate budget for this contract?	✓	
24. Is the budget reviewed on an interim basis? Compare the current budget to the budget submitted in the RFP process.	✓	
25. Is there an indirect cost allocation plan? If so, has this plan been approved by HUD?		✓
26. Are internal control systems in compliance with accounting policies and procedures for cash, real and personal property equipment, and other assets?	✓	
27. Is the documentation submitted for reimbursement of funds sufficient to ensure payments are eligible and reasonable?	✓	
28. If the subrecipient generates program income, does its use of the funds comply with CDBG regulations? <i>Sliding scale fee for counseling</i>	✓	
29. Has the organization submitted for review a copy of their annual independent audit covering the most recent fiscal year? <i>Will be completed by 3/11</i>		✓
30. Determine if the subrecipient has expended \$500,000 or more in Federal funds for the subject year. (OMB Circular A-133).	✓	
• IPA required?	✓	
31. Describe any findings or concerns that were cited in the audit or in any accompanying management letter, particularly pertaining to the use of CDBG funds. Also describe any actions taken to correct identified findings or concerns.	—	—